

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

In re Application of: Hill et al.

For: METHOD AND APPARATUS FOR ELECTRICALLY STIMULATING THE NERVOUS SYSTEM TO IMPROVE VENTRICULAR FUNCTION, HEART FAILURE, AND OTHER CARDIAC CONDITIONS

Serial No.: 10/039,307

Filed: October 26, 2001

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8:** I hereby certify that this **INFORMATION DISCLOSURE STATEMENT** and the paper(s), as described herein, are being deposited in the U.S. Postal Service, as first class mail, addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on this 4<sup>th</sup> day of February, 2002.

Molly Chlebeck  
 Signature  
 Molly Chlebeck  
 Printed Name

Commissioner of Patents and Trademarks  
 Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Information Disclosure Statement
- ☒ PTO FORM 1449
- ☒ Copies cited references
- ☒ Return Postcard

## FEE CALCULATION

- ☒ \$ 00.00 Pursuant to 37 CFR §1.97(b) (before mailing of first Office Action)
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(c) with Certification (cited in foreign application not more than 3 months earlier)
- ☐ \$ 00.00 Pursuant to 37 CFR §1.97(e) with Certification
- ☐ \$180.00 Pursuant to 37 CFR §1.97(c) without Certification
- ☐ \$180.00 Pursuant to 37 CFR §1.97(d) with Certification

- ☐ Applicant hereby petitions for a \_\_\_\_\_ months' extension of time. If an additional extension of time is required, please consider this petition therefor.
- ☒ Applicant believes that no extension of time is required. However, if an extension of time is required, please consider this a petition therefor to provide for the possibility that applicant has inadvertently overlooked the need for an extension of time.
- ☒ Please charge any additional fees or credits to Deposit Account No. 13-2546 which may have been overlooked with regard to this filing. A duplicate of this transmittal is enclosed.

Date

2/1/2

Beth L. McMahon  
 Beth L. McMahon  
 Reg. No. ~~10/039,307~~ 40,987  
 #27581  
 Telephone: (763) 514-3066

#4 0410  
 2-27-02



PATENT  
Docket: P-8969.00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Hill et al. ) Art Unit:  
Serial No.: 10/039,307 ) Examiner:  
Filed: October 26, 2001 )

For: METHOD AND APPARATUS FOR ELECTRICALLY STIMULATING THE  
NERVOUS SYSTEM TO IMPROVE VENTRICULAR DYSFUNCTION, HEART  
FAILURE, AND OTHER CARDIAC CONDITIONS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington D.C. 20231

Dear Sir:

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with C.F.R. §§ 1.97 *et. seq.*, the materials enclosed herewith are brought to the attention of the Examiner as possibly being of interest in connection with the above-identified patent application.

Consideration of each of the documents listed on the attached Form 1449 is respectfully requested. Pursuant to the provisions of M.P.E.P. §609, Applicant further requests that a copy of the Form 1449, marked as being considered and initialed by the Examiner, be returned with the next Official Communication.

Respectfully submitted,

Date: 2/1/2

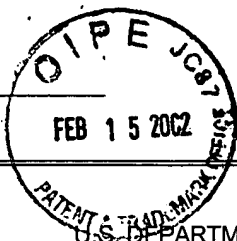
By: Beth L. McMahon  
Beth L. McMahon  
Reg. No. 41,987  
#27581  
Telephone: (763) 514-3066

FORM PTO-1449 (Rev. 2-32)  U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE  INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)	ATTY. DOCKET NO.: P-8969.00	SERIAL NO: 10/039,307
	APPLICANT: Hill, et al.	
	FILING DATE: October 26, 2001	GROUP:

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE ISSUED	INVENTOR NAME	U.S. CLASS	U.S. SUB- CLASS	FILING DATE IF APPROPRIATE
	AA	3522811	02/13/69	Schwartz et al.	128	419	
	AB	3645267	02/29/72	Hagfors	128	421	
	AC	3650277	03/21/72	Sjostrand et al.	128	419C	
	AD	3796221	03/12/74	Hagfors	128	421	
	AE	4146029	03/27/79	Ellinwood, Jr.	128	260	
	AF	5031618	07/16/91	Mullett	128	421	
	AG	5058584	10/22/91	Bourgeois	128	421	
	AH	5135004	08/04/92	Adams, et al.	128	696	
	AI	5149713	09/22/92	Bousquet	514	567	
	AJ	5199428	04/06/93	Obel et al.	128	419	
	AK	5220917	06/22/93	Cammilli et al.	128	419	
	AL	5330505	07/19/94	Cohen	607	6	
	AM	5330507	07/19/94	Schwartz	607	14	
	AN	5330515	07/19/94	Rutecki et al.	607	46	
	AO	5342409	08/30/94	Mullett	607	46	
	AP	5607418	03/04/97	Arzbaeher	604	891.1	
	AQ	5700282	12/23/97	Zabara	607	9	
	AR	5817131	10/06/98	Elsberry et al.	607	5	
	AS	5824021	10/20/98	Rise	607	46	
	AT	6134470	10/17/00	Hartlaub	607	14	

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



FORM PTO-1449

(Rev. 2-32)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE STATEMENT  
BY APPLICANT  
(Use several sheets if necessary)ATTY. DOCKET NO.:  
P-8969.00SERIAL NO:  
10/039,307

APPLICANT: Hill, et al.

FILING DATE:  
October 26, 2001

GROUP:

	AU	6058331	05/02/00	King	607	62	
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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE PUBLIC- ATION	COUNTRY	INT. CLASS	INT. SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date Pertinent Pages, Etc.)

AV	Braunwald, M.D. et al., Carotid Sinus Nerve Stimulation in the Treatment of Angina Pectoris and Supraventricular Tachycardia, March 1970, California Medicine, The Western Journal of Medicine, 112 (3): 41-50
AW	Bilgutay, M.D., et al., Vagal Tuning – A New Concept in the Treatment of Supraventricular Arrhythmias, Angina Pectoris, and Heart Failure, July 1968, Journal of Thorac Cardiovascular Surgery 56 (1): 71-82
AX	Foreman, et al., Modulation of Intrinsic Cardiac Neurons by Spinal Cord Stimulation: Implications for its Therapeutic Use in Angina Pectoris, April 10, 2000, Cardiovascular Research, pp 367-375

EXAMINER

DATE CONSIDERED

EXAMINER:

Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.